

**STATE OF MAINE
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

COMMUNITY ASSISTANCE VISIT

Community: _____

Reviewer: _____

Grant Type: _____

Program Year: _____

Date of Visit: _____

The following is an outline of the OCD suggested filing system for CDBG Programs. The outline consists of file listings that apply to all programs; some may not apply to your particular program. The outline is consistent with items and/or areas that an OCD Program Development Specialist will be reviewing during a monitoring visit. Please note that CDBG Program files must be maintained in an area that that can be locked. Program files must be retained for a period of three years after the grant closeout. Check marks indicate information that must be maintained by the municipality.

GENERAL PROGRAM FILES

A. CDBG Program Application Files	YES	NO
Copy of the Phase I CDBG Program Application	()	()
Copy of the Project Development Package with Project Development checklist	()	()
Copy of public hearing notice with minutes	()	()
Correspondence pertaining to the Phase I or Project Development Application	()	()
Survey and benefit data collected in support of the application	()	()
Other information related to the Phase I or Project Development Application	()	()
B. CDBG Contract File		
Letter from DECD indicating application approval	()	()
Contract document between DECD and the Town/City	()	()
Documentation of satisfying any special conditions of the contract	()	()
Documentation of requests and approvals of contract amendments	()	()
Correspondence pertaining to the contract	()	()
C. DECD Program Monitoring File		
Correspondence from DECD providing notice of monitoring	()	()
Monitoring Reports	()	()
Responses to any monitoring observations or findings	()	()
Correspondences pertaining to the monitoring process	()	()
D. Program Audit File		
Copy of interim audit report	()	()
Copy of final audit report	()	()
Documentation of clearance of noted audit exceptions	()	()
Notification of DECD audit review	()	()
Correspondence pertaining to the audit	()	()
E. CDBG Program Grant Close-Out File	YES	NO
CDBG Program close-out package	()	()
DECD Certification of Completion notice	()	()
F. General Correspondence File		
Incoming and outgoing correspondence not specific to any other established program file	()	()
Copy of second public hearing notice and minutes, to be held during progress of activities	()	()
G. CDBG Program Operation File	YES	NO
DECD Administrator's Guide	()	()
Local program guidelines with a copy of all related program forms	()	()
Citizen participation plan	()	()
Citizen complaint policy	()	()
Conflict of Interest policy	()	()

List of members, authorization documents, by-laws and minutes of meetings of the Community Development Advisory Committee	() ()
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FINANCIAL MANAGEMENT FILES

A. CDBG Grant Contract Information File	YES NO
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Program contract budget	() ()
Documentation of designation of depository	() ()
Signature authorization form for report and payment request forms	() ()
Quarterly reports with back-up documentation	() ()
Request for Payment forms with back-up documentation	() ()
Record of program commitments (match/leverage) with back up documentation	() ()
Program Income Plan with budget	() ()
Program activity documentation (account books, records, ledgers, printouts, etc.)	() ()

B. Source Documentation Files

Paid invoices	() ()
Pending invoices	() ()
Other source documents (purchase orders, warrants, etc.)	() ()
Program income receipts	() ()
Time sheets for personnel paid with CDBG funds	() ()

C. Bank Records File

CDBG Program bank account statements	() ()
Check register	() ()
Canceled checks	() ()
Program deposit slips	() ()
Other relevant bank records	() ()
Correspondence pertaining to CDBG bank activities	() ()

D. Property Management File

Property inventory and management register (date of purchase, amount, Serial #, use, location, etc.)	() ()
Documentation for disposition of CDBG purchased property	() ()

E. Procurement File

Copy of municipal procurement policy	() ()
Copy of CDBG program procurement policies	() ()

PROGRAM COMPLIANCE FILES

A. Civil Rights File	YES NO
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Beneficiary Profile	() ()
Contractor List	() ()
Women and minority owned contractor list	() ()
Municipal adopted Equal Employment Opportunity Policy	() ()
CDBG employee profile	() ()
Section 504 self-evaluation	() ()
Notice of nondiscrimination	() ()
Fair Housing Resolution	() ()
Fair Housing Proclamation	() ()
Fair Housing Addendum	() ()
Section 3 Affirmative Action Plans	() ()
Bidder certification on Section 3 segregated facilities and Section 3 Preference (contractors and subcontractors)	() ()

Executive Order 11246 and EEO Certifications for contractors and subcontractors	() ()
Proposed subcontract breakdown	() ()
Job creation/retention benefit data system	() ()
Public service benefit data system	() ()
Documentation of using Fair Housing language or logos in all housing activity promotional material	() ()

(The above items are covered in the Civil Rights Technical Assistance Package section of your Administrator's Guide, sample forms are included for your review and adaptation.)

Benefit data system	() ()
Project occupancy list	() ()

B. Environmental Review Record Files

Program definition including a list of project activities	() ()
Environmental Review Statement (exempt, converted to exempt, etc.)	() ()
Checklists	() ()
Compliance documentation (including permits)	() ()
Published notices (including dissemination list for FONSI)	() ()
Request for release of funds (RROF/Certification)	() ()
Objections and Responses	() ()
DECD release letter (including verification of first date for obligating funds)	() ()
State List and Updates	() ()

PROGRAM ACTIVITY MANAGEMENT

A. General Activity Management File

		YES	NO
Program activity summary statement	() ()		
Activity budget sheets with cost estimates and time line	() ()		
Written activity management statement indicating personnel associated with the program and their respective responsibilities	() ()		
Contractor cost and activity vs. budget tracking system	() ()		
Other related project activity materials	() ()		
Contractor application file with proof of liability and workmen's compensation insurance	() ()		

B. Activity Contract File

Applicable to this Program	() ()
Bid documents (ads, RFP, plans/specifications etc.)	() ()
Summary of bids received	() ()
Notice of award with supporting documentation	() ()
Contract and notice to proceed	() ()
Contract change orders with supporting documentation	() ()
List of subcontractors	() ()
Contractor payment record (invoices, inspections, payment authorization forms, copy of checks, signed receipts, etc.)	() ()
Contract progress inspection reports	() ()
Section 3 and Affirmative Action, EEO Documentation	() ()
Correspondence with the contractor about activity being completed	() ()

C. Labor Standards Files

Applicable to this Program	() ()
Request for wage determination	() ()
Wage determination from the DECD	() ()
Labor Standards Certifications for contractors and subcontractors	() ()

Weekly wage reports for each contractor and associated activity	() ()
Documentation of wage verification and compliance and employee interviews	() ()
Notifications of violations with documentation of restitution	() ()
Correspondence relating to wage rates and compliance actions	() ()

D. Acquisition/Relocation Files

Applicable to this Program

() ()

ACQUISITION:

Copy of Notice of Interest in Acquiring	() ()
Copy of Invitation to Owner to Accompany Appraiser	() ()
Appraisal report and Review Appraisal Report	() ()
Copy of Establishment of Just Compensation & Summary Statement	() ()
Copy of Written Offer to Purchase	() ()
Updates of the Offer of Just Compensation	() ()
Purchase/Sale agreement	() ()
Statement of settlement costs	() ()
Receipt of purchase	() ()
Waiver, if donation	() ()
If process terminated, copy of Notice of Intent Not to Acquire	() ()

RELOCATION:

Copy of letter of explanation of process and obligations of the acquiring agency	() ()
Copy of Site Occupant Record Residential and/or Nonresidential	() ()
Worksheet identifying comparable replacement dwellings and housing payments	() ()
Copy of notice to owner-occupant/tenant/business explaining eligibility and payment	() ()
Copy of Guideform Notice of Eligibility for Relocation Assistance-Residential Tenant	() ()
Copy of Guideform Notice of Eligibility for Relocation Assistance-Business	() ()
Copy of Use-Occupancy Agreement, (if tenant is to remain after purchase)	() ()
Copies of referrals to replacement dwellings	() ()
Copy of other advisory efforts	() ()
Copy of 90-Day Notice to Vacate, if issued	() ()
Copy of Letter to Relocatee Moving to a Substandard Unit, if applic.	() ()
Replacement dwelling inspection report	() ()
Copies of approved claim forms and related documents	() ()
Copy of Letter Acknowledging Services and Payments Made	() ()
List of all sources of income with verifying documentation	() ()
Documentation of ownership	() ()
Before acquisition photographs of the property	() ()
Floor Plan of the property (showing rooms, room type and their square feet)	() ()

E. Housing Rehabilitation Activity Files

Applicable to this Program

() ()

Property owner application	() ()
Tenant applications	() ()
Documentation of income verifications for program beneficiaries	() ()
Documentation of approval for program assistance	() ()
Project specifications to include compliance with applicable codes, energy standards, smoke detectors and cost estimate	() ()
Notice of tenant not to be displaced	() ()

Documentation of owner and/or tenants receiving lead-based paint hazard notification with signatures	()	()
Requests for bids	()	()
Contractor bid proposals (at least two for each activity)	()	()
Bid summary sheet	()	()
Notification of award to all bidders	()	()
Signed agreement allowing the recapture of all or a part of the CDBG assistance for grant programs	()	()
Rent regulatory agreement for rental units	()	()
Executed mortgage deed and note with related documents as truth in lending etc.	()	()
Contract between the owner and contractor for the specified work	()	()
Documentation of compliance with Section 3, Davis Bacon etc. where applicable	()	()
Documentation of pre-construction meeting with the owner, contractor and program representative	()	()
Change orders completed in accordance with program policy	()	()
Progress inspection form	()	()
Partial payment invoices with supporting documentation	()	()
Documentation of receipt of partial payments	()	()
Contractor certification of completion	()	()
Contractor certification of release of liens	()	()
Contractor warranty documentation	()	()
Documentation of program personnel final inspection	()	()
Documentation of final acceptance and certification of completion by the owner	()	()

F . Micro-Loan Activity Files

Applicable to this Program

	YES	NO
Written program guidelines	()	()
Micro-Loan Review Committee certification by the OCD	()	()
Program Income tracking system	()	()
Delinquent payment policy	()	()
Participant application	()	()
Documentation of business eligibility	()	()
Description of the use for the Micro-Loan funds	()	()
Cost estimates for the use of the loan funds	()	()
Documentation of financial analysis of the business	()	()
Documentation of job creation and/or retention	()	()
Documentation of need for the CDBG Micro-Loan funding	()	()
Documentation of job creation/retention monitoring by the grantee	()	()
Current job creation benefit data system	()	()

G . Public Service Activity Files

Applicable to this Program

	()	()
Documentation of expansion or an existing program or establishment of a new program	()	()
Documentation of how program will continue after DBG funding ends	()	()
Documentation of how grantee monitors the program progress	()	()
Documentation of beneficiary eligibility	()	()
Documentation of meeting program benefit requirements	()	()
Formal agreement between the municipality and the service provided	()	()